

2015 Annual compliance survey

Questionnaire for information only,

the official questionnaire will be sent in September.

This questionnaire aims to assess compliance with your company’s commitments to the Supply Chain Initiative. The period covered is September 2014 to August 2015.

Please complete this questionnaire by the 16 October 2015.

The web-based methodology guarantees the confidentiality of your answers. Only the research company will have access to information provided.

A European report based on aggregated anonymous data will be shared with participating companies after the survey has been completed.

We have already filled in some of the boxes based on **your registration details / last year’s survey**. Please check these while answering the other parts of the questionnaire and amend as necessary.

Please note that the wording of the questions might slightly differ from the one used in the Framework in order to facilitate the analysis work.

The phrase “The Principles of Good Practice” refers to [The Principles of Good Practice in vertical relations in the food supply chain](http://www.supplychaininitiative.eu/about-initiative/principles-good-practice-vertical-relationships-food-supply-chain) adopted on 29 November 2011. The Framework for implementation and enforcement of the Principles adopted in January 2013 can be found here: <http://www.supplychaininitiative.eu/about-initiative/framework>

1. Company demographics
2. For which country are you answering this survey?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| ▪ | Austria | 1 | ▪ | Italy | 15 |
| ▪ | Belgium | 2 | ▪ | Latvia | 16 |
| ▪ | Bulgaria | 3 | ▪ | Lithuania | 17 |
| ▪ | Croatia | 4 | ▪ | Luxembourg | 18 |
| ▪ | Cyprus | 5 | ▪ | Malta | 19 |
| ▪ | Czech Republic | 6 | ▪ | Netherlands | 20 |
| ▪ | Denmark | 7 | ▪ | Poland | 21 |
| ▪ | Estonia | 8 | ▪ | Portugal | 22 |
| ▪ | Finland | 9 | ▪ | Romania | 23 |
| ▪ | France | 10 | ▪ | Slovakia | 24 |
| ▪ | Germany | 11 | ▪ | Slovenia | 25 |
| ▪ | Greece | 12 | ▪ | Spain | 26 |
| ▪ | Hungary | 13 | ▪ | Sweden | 27 |
| ▪ | Ireland | 14 | ▪ | United Kingdom | 28 |

1. How many employees did you have in your country in 2014?

|  |  |  |
| --- | --- | --- |
| ▪ | less than or equal to 250 | 1 |
| ▪ | more than 250 | 2 |

1. What was your turnover in your country in 2014?

|  |  |  |
| --- | --- | --- |
| ▪ | less than or equal to €50 millions | 1 |
| ▪ | more than €50 millions | 2 |

1. What was your balance sheet in your country in 2014?

|  |  |  |
| --- | --- | --- |
| ▪ | less than or equal to €43 millions | 1 |
| ▪ | more than €43 millions | 2 |

1. In which part of the food supply chain is your company active in this country? [the proposed answer is based on your registration details; please amend as necessary]

|  |  |  |
| --- | --- | --- |
| ▪ | farming | 1 |
| ▪ | wholesale | 2 |
| ▪ | manufacturing | 3 |
| ▪ | retail | 4 |

1. Respect of the process commitments / Training of your relevant staff members to ensure compliance with the Principles of Good Practice

[To companies that took part in the previous survey: To the question, ‘Has training been set up to ensure compliance with the Principles of Good Practice?’, they responded: ‘Yes’]

1. In the last survey, you indicated that you organised the training of your staff. Have you – this year – organised refresher training?

|  |  |  |
| --- | --- | --- |
| ▪ | yes | 1 |
| ▪ | no | 2 |

1. **[If NO at Q2a]** Do you plan to organise refresher training?

|  |  |  |
| --- | --- | --- |
| ▪ | yes | 1 |
| ▪ | no | 2 |

[To companies that took part in the previous survey: To the question, ‘Has training been set up to ensure compliance with the Principles of Good Practice?’, they responded: ‘Partially’]

1. In the last survey, you indicated that you have started training of your relevant staff members but not completed it. Have you completed the training this year?

|  |  |  |
| --- | --- | --- |
| ▪ | yes | 1 |
| ▪ | no | 2 |

1. **[If NO at Q2c]** When do you plan to complete it?

|  |  |  |
| --- | --- | --- |
| ▪ | in less than 3 months | 1 |
| ▪ | within 3 to 6 months | 2 |
| ▪ | not before 6 months | 3 |

[To companies that responded ‘no’ in the previous survey, and to those that did not respond to the previous survey as well as those that registered after the 1st survey]

1. Did you train your relevant staff members to ensure compliance with the Principles of Good Practice, as required by the Framework?

|  |  |  |
| --- | --- | --- |
| ▪ | yes | 1 |
| ▪ | partially | 2 |
| ▪ | no | 3 |

1. **[If NO at Q2e]** Why haven’t you organised training?

|  |  |  |
| --- | --- | --- |
| ▪ | the Principles match existing regulatory requirements so we didn’t need to organise training as knowledge is already spread among our workforce | 1 |
| ▪ | the Principles are already covered by long standing corporate values on which we previously trained our employees | 2 |
| ▪ | we haven’t yet finalized the plan for training | 3 |
| ▪ | other | 4 |

1. **[If NO or PARTIALLY at Q2e]** When do you plan starting the training?

|  |  |  |
| --- | --- | --- |
| ▪ | in less than 3 months | 1 |
| ▪ | within 3 to 6 months | 2 |
| ▪ | not before 6 months | 3 |

1. **[If YES or PARTIALLY at Q2e]** How many of your staff members have been trained? [Please insert a figure]

|  |  |  |
| --- | --- | --- |
| ▪ | … members |  |

1. **[If YES or PARTIALLY at Q2e] What is the percentage of your staff trained with respect to the total number of your staff members who should be trained?**

|  |  |  |
| --- | --- | --- |
| ▪ | … % |  |

1. **[If YES or PARTIALLY at Q2e]** Who among your staff members have been trained? [several answers possible]

|  |  |  |
| --- | --- | --- |
| ▪ | staff members involved in negotiations with business partners | 1 |
| ▪ | the person(s) responsible for the internal dispute resolution | 2 |
| ▪ | directors, managers and internal staff trainers | 3 |
| ▪ | I don’t know | 4 |

1. **[If YES or PARTIALLY at Q2e]** How did you conduct the staff training? [several answers possible]

|  |  |  |
| --- | --- | --- |
| ▪ | byusingthe e-learning module provided by the Governance Group and developed by SAI Global [More information on the e-learning: [here](http://www.supplychaininitiative.eu/elearning)] | 1 |
| ▪ | by external training (eg. event, written communication) | 2 |
| ▪ | through the creation of a new in-house training tool | 3 |
| ▪ | through internal communication | 4 |
| ▪ | other | 5 |

1. **[If 1 at Q2j]** Using a scale from 1 to 10, where 1 is low and 10 very high, could you evaluate the e-learning module provided by the Governance Group and developed by SAI Global?

|  |  |  |  |
| --- | --- | --- | --- |
| ▪ | efficiency | …/10 | 1 |
| ▪ | clarity | …/10 | 2 |
| ▪ | usefulness | …/10 | 3 |

1. Respect of the process commitments / Communication of your registration to your business partners
2. Has your company communicated to its business partners its registration to the Supply Chain Initiative?

|  |  |  |
| --- | --- | --- |
| ▪ | yes | 1 |
| ▪ | no | 2 |

1. **[ If 1 at Q3a]** Which of the below tools have you used to communicate to your business partners your company’s engagement in the Supply Chain Initiative? [several answers possible]

|  |  |  |
| --- | --- | --- |
| ▪ | letter / email | 1 |
| ▪ | website | 2 |
| ▪ | written notice in meeting rooms | 3 |
| ▪ | written notice in contracts | 4 |
| ▪ | other | 5 |

1. **[If 2 at Q3a**] Why not? [Please tick a box, one answer possible]

|  |  |  |
| --- | --- | --- |
| ▪ | communication was done at group level | 1 |
| ▪ | communication has been done partially, but is not yet complete | 2 |
| ▪ | communication is planned but not yet done | 3 |
| ▪ | other | 4 |

1. Dispute resolution

When registering to the Supply Chain Initiative, your company has made a commitment to prepare for dispute resolution options and designate a dispute resolution contact point.

We measure the effectiveness of the dispute resolution options offered by the Supply Chain Initiative.

1. Has your company been faced with an alleged breach of at least one of the Principles of Good Practice since 20 August 2014 / your registration? ***[If the company took part in the first survey: ‘since 20 August 2014’ If the company did not take part in the first survey: ‘since your registration’.]***

|  |  |  |
| --- | --- | --- |
| ▪ | yes | 1 |
| ▪ | no | 2 |

1. **[If NO at Q4a]** Has your company lodged complaints towards trading partners for alleged breaches of the Principles of Good Practice since your registration?

|  |  |  |
| --- | --- | --- |
| ▪ | yes | 1 |
| ▪ | no | 2 |

1. **[If YES at Q4a]** Has your company solved the problem informally?

|  |  |  |
| --- | --- | --- |
| ▪ | yes | 1 |
| ▪ | no | 2 |

1. **[If YES at Q4a]** Did your company use individual dispute resolution options or aggregated disputes via a national dialogue platform? [Please give the number of complaints]

|  |  |  |  |
| --- | --- | --- | --- |
| ▪ | individual dispute resolution mechanisms |  | **…** |
| ▪ | aggregated dispute via a national dialogue platform |  | **…** |

1. **[If YES at Q4a]** When your company lodged (a) complaint(s), which among the following Principles of Good Practice, were allegedly breached? [several answers possible]

|  |  |  |
| --- | --- | --- |
| ▪ | **CONSUMERS:** *Contracting parties should always take into account consumer interests and the overall sustainability of the supply chain in their B2B relations. Contracting parties should ensure maximum efficiency and optimisation of resources in the distribution of goods throughout the supply chain.* | 1 |
| ▪ | **FREEDOM OF CONTRACT:** *Contracting parties are independent economic entities, respecting each other's rights to set their own strategy and management policy, including the freedom to determine independently whether to engage or not in any agreement*. | 2 |
| ▪ | **FAIR DEALING:** *Contracting parties should deal with each other responsibly, in good faith and with professional diligence.* | 3 |
| ▪ | **WRITTEN AGREEMENTS:** *Agreements should be in writing, unless impracticable or where oral agreements are mutually acceptable and convenient. They should be clear and transparent, and cover as many relevant and foreseeable elements as possible, including rights and procedures of termination.* | 4 |
| ▪ | **PREDICTABILITY:** *Unilateral change to contract terms shall not take place unless this possibility and its circumstances and conditions have been agreed in advance. The agreements should outline the process for each party to discuss with the other any changes necessary for the implementation of the agreement or due to unforeseeable circumstances, as provided in the agreement.* | 5 |
| ▪ | **COMPLIANCE:** *Agreements must be complied with.* | 6 |
| ▪ | **INFORMATION:** *Where information is exchanged, this shall be done in strict compliance with competition and other applicable laws, and the parties should take reasonable care to ensure that the information supplied is correct and not misleading.* | 7 |
| ▪ | **CONFIDENTIALITY:** *Confidentiality of information must be respected unless the information is already public or has been independently obtained by the receiving party lawfully and in good faith. Confidential information shall be used by the recipient party only for the purpose for which it was communicated.* | 8 |
| ▪ | **RESPONSIBILITY FOR RISK:** *All contracting parties in the supply chain should bear their own appropriate entrepreneurial risks.* | 9 |
| ▪ | **JUSTIFIABLE REQUEST:** *A contracting party shall not apply threats in order to obtain an unjustified advantage or to transfer an unjustified cost.* | 10 |

1. Commercial retaliation / handling of complaints

Commercial retaliation against any company for the use of the dispute resolution options is a serious breach of the Principles of Good Practice.

1. **[If number > 0 at 1 and/or 2 at Q4d]** Has your company been exposed to commercial retaliation by a trade partner registered in the Supply Chain Initiative after you activated one of the available dispute resolution options over the period September 2014-August 2015?

|  |  |  |
| --- | --- | --- |
| ▪ | yes | 1 |
| ▪ | no | 2 |

1. **[If YES at Q5a]** How many times (in relation to the total number of complaints you lodged) [Please insert a figure]?

|  |  |  |
| --- | --- | --- |
| ▪ | … cases |  |

1. **[If YES at Q4B]** What is the status of the complaints your company has lodged since 20 August 2014 / your registration? **[Total should be equal to Q5b]**

|  |  |  |  |
| --- | --- | --- | --- |
| ▪ | complaints solved |  | **…** |
| ▪ | complaints still pending |  | **…** |

1. **[If YES at Q4B]** As regards the total number of complaints lodged since September 2014 / your company’s registration, what dispute resolution options has your company used? [several answers possible]

|  |  |  |
| --- | --- | --- |
| ▪ | commercial track (taking the issue to a higher level of the trade partner commercial’s hierarchy) | 1 |
| ▪ | internal dispute resolution office of the trade partner | 2 |
| ▪ | mediation | 3 |
| ▪ | arbitration | 4 |
| ▪ | jurisdictional methods according to national rules and regulations | 5 |

1. Among the total number of complaints lodged and resolved since September 2014 / your company’s registration, what is the final option that led to the resolution of a dispute? [Please provide a number of resolutions for each possible dispute mechanism used]

[Display number provided in Q5c]

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Dispute resolution option | Number of complaints your company raised which were resolved since your registration | Number of complaints your company raised which were resolved within 4 months |  |
| ▪ | commercial track (taking the issue to a higher level of the trade partner commercial’s hierarchy) | **…** | **…** |  |
| ▪ | internal dispute resolution office of the trade partner | **…** | **…** |  |
| ▪ | mediation | **…** | **…** |  |
| ▪ | arbitration | **…** | **…** |  |
| ▪ | jurisdictional methods according to national rules and regulations | **…** | **…** |  |
| ▪ | total [somme automatique] | **…** | **…** |  |

1. Complaints received
2. Has your company received complaints from trading partners alleging a breach of the Principles of Good Practice since 20 August 2014 / since your registration?

|  |  |  |
| --- | --- | --- |
| ▪ | yes | 1 |
| ▪ | no | 2 |

1. How many complaints have you received? [Please insert a figure]

|  |  |  |
| --- | --- | --- |
| ▪ | … complaints |  |

1. As regards received complaints, which among the following Principles of Good Practice have been allegedly breached? [several answers possible]

|  |  |  |
| --- | --- | --- |
| ▪ | **CONSUMERS:** *Contracting parties should always take into account consumer interests and the overall sustainability of the supply chain in their B2B relations. Contracting parties should ensure maximum efficiency and optimisation of resources in the distribution of goods throughout the supply chain.* | 1 |
| ▪ | **FREEDOM OF CONTRACT:** *Contracting parties are independent economic entities, respecting each other's rights to set their own strategy and management policy, including the freedom to determine independently whether to engage or not in any agreement*. | 2 |
| ▪ | **FAIR DEALING:** *Contracting parties should deal with each other responsibly, in good faith and with professional diligence.* | 3 |
| ▪ | **WRITTEN AGREEMENTS:** *Agreements should be in writing, unless impracticable or where oral agreements are mutually acceptable and convenient. They should be clear and transparent, and cover as many relevant and foreseeable elements as possible, including rights and procedures of termination.* | 4 |
| ▪ | **PREDICTABILITY:** *Unilateral change to contract terms shall not take place unless this possibility and its circumstances and conditions have been agreed in advance. The agreements should outline the process for each party to discuss with the other any changes necessary for the implementation of the agreement or due to unforeseeable circumstances, as provided in the agreement.* | 5 |
| ▪ | **COMPLIANCE:** *Agreements must be complied with.* | 6 |
| ▪ | **INFORMATION:** *Where information is exchanged, this shall be done in strict compliance with competition and other applicable laws, and the parties should take reasonable care to ensure that the information supplied is correct and not misleading.* | 7 |
| ▪ | **CONFIDENTIALITY:** *Confidentiality of information must be respected unless the information is already public or has been independently obtained by the receiving party lawfully and in good faith. Confidential information shall be used by the recipient party only for the purpose for which it was communicated.* | 8 |
| ▪ | **RESPONSIBILITY FOR RISK:** *All contracting parties in the supply chain should bear their own appropriate entrepreneurial risks.* | 9 |
| ▪ | **JUSTIFIABLE REQUEST:** *A contracting party shall not apply threats in order to obtain an unjustified advantage or to transfer an unjustified cost.* | 10 |

1. What is the status of the complaints you have received since 20 August 2014 / since your registration? **[Total should be equal to Q6b]**

|  |  |  |  |
| --- | --- | --- | --- |
| ▪ | complaints solved |  | **…** |
| ▪ | complaints still pending |  | **…** |

1. As regards the total number of complaints received since 20 August 2014 / your registration, what dispute mechanism options have you used? [several answers possible]

|  |  |  |
| --- | --- | --- |
| ▪ | commercial track (taking the issue to a higher level of the trade partner commercial’s hierarchy) | 1 |
| ▪ | internal dispute resolution office of the trade partner | 2 |
| ▪ | mediation | 3 |
| ▪ | arbitration | 4 |
| ▪ | jurisdictional methods according to national rules and regulations | 5 |

1. Among the total number of complaints received and resolved since September 2014 / your registration, what is the final mechanism that led to the resolution of a dispute? [Please provide the number of cases solved for each of the dispute resolution options used]

**[Display number provided in q6d]**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | Number of complaints your company received which were resolved since your registration | Number of complaints your company received which were resolved within 4 months |  |
| ▪ | commercial track (taking the issue to a higher level of the trade partner commercial’s hierarchy) | **…** | **…** |  |
| ▪ | internal dispute resolution office of the trade partner | **…** | **…** |  |
| ▪ | mediation | **…** | **…** |  |
| ▪ | arbitration | **…** | **…** |  |
| ▪ | jurisdictional methods according to national rules and regulations | **…** | **…** |  |
| ▪ | total [somme automatique] | **…** | **…** |  |

1. Satisfaction and impact on business
2. Do you believe that the Supply chain Initiative (SCI) has helped [Pease tick boxes, several answers possible]

|  |  |  |
| --- | --- | --- |
| ▪ | to improve daily communication with your trading partners | 1 |
| ▪ | to deal with conflicts | 2 |
| ▪ | to improve your internal company processes | 3 |
| ▪ | other (please explain): | 4 |

1. On a scale of 1 to 10, where 1 is low and 10 very high, please indicate your company’s overall satisfaction with the Initiative?

* 10 means that you are extremely satisfied with the Initiative
* 1 means that you are extremely dissatisfied

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |  |

1. **[If less than 4]** Why aren’t you satisfied with the SCI?

|  |  |  |
| --- | --- | --- |
| ▪ | it is too early to assess the value of the SCI | 1 |
| ▪ | the SCI has not brought any culture change in B2B relation | 2 |
| ▪ | the process is too complicated | 3 |
| ▪ | other (please explain): | 4 |

1. Conclusion

The information you provide will remain confidential. To help us ensure the proper management of the survey and eliminate potential duplication, we thank you for providing us with the information below.

1. What is the name of the company (national operating company):

|  |  |  |
| --- | --- | --- |
| ▪ | name : …. |  |

1. In which country or countries are you currently operating? [several answers possible]

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| ▪ | Austria | 1 | ▪ | Italy | 15 |
| ▪ | Belgium | 2 | ▪ | Latvia | 16 |
| ▪ | Bulgaria | 3 | ▪ | Lithuania | 17 |
| ▪ | Croatia | 4 | ▪ | Luxembourg | 18 |
| ▪ | Cyprus | 5 | ▪ | Malta | 19 |
| ▪ | Czech Republic | 6 | ▪ | Netherlands | 20 |
| ▪ | Denmark | 7 | ▪ | Poland | 21 |
| ▪ | Estonia | 8 | ▪ | Portugal | 22 |
| ▪ | Finland | 9 | ▪ | Romania | 23 |
| ▪ | France | 10 | ▪ | Slovakia | 24 |
| ▪ | Germany | 11 | ▪ | Slovenia | 25 |
| ▪ | Greece | 12 | ▪ | Spain | 26 |
| ▪ | Hungary | 13 | ▪ | Sweden | 27 |
| ▪ | Ireland | 14 | ▪ | United Kingdom | 28 |

1. What is your function in your company?

|  |  |  |
| --- | --- | --- |
| ▪ | legal | 1 |
| ▪ | sales | 2 |
| ▪ | procurement | 3 |
| ▪ | corporate | 4 |
| ▪ | other | 5 |

Thank you very much for your time and support in gathering facts and figures regarding the implementation of the Supply Chain Initiative – Together for good trading practices.

If you have any question on the content of the survey, please send an email to [jimbert@eurocoop.coop](mailto:jimbert@eurocoop.coop)

If you have any technical issue, please contact [mdumoulin@dedicated.be](mailto:mdumoulin@dedicated.be)

Please check the "Validate" box and then click "Send".